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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Chaves et al.

Serial No.: 10/816,228

Filed: 3/31/2004

Title: OPTICAL DEVICE FOR LED-BASED LAMP

Attorney Docket No.: 3084.028

Group Art Unit:
2872
Examiner:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO/SB/08A and PTO/SB/08B Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08A and PTO/SB/08B are either in the English language or an English translation is provided, therefore, no further explanation is required, with the exception of the following non-English reference. A concise explanation, as presently understood, is as follows:

SU 1282051 A1 appears to be related to a luminous energy collimator having a paraboloid axis inclined at angle towards symmetry axis.

ES 2142752 appears to describe an axisymmetrical aspherical lens for coupling four normal congruencies of rays, two by two. It is composed by two focusing asphericals without revolution symmetry that transform two normal congruencies of rays.

Applicant submits that the above references taken alone or in combination neither anticipates nor renders obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

I hereby certify that this Correspondence is being deposited with the United States Postal service with sufficient postage for first class mail in an envelope address to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or the correspondence is being facsimile transmitted to the USPTO, on the date indicated below.

SINSHEIMER, SCHIEBELHUT &
BAGGETT

Date of Deposit: Oct 25 2004

Typed Name: Julie A. Hopper

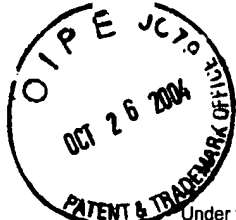
Signature: Julie A. Hopper

Julie A. Hopper
Julie A. Hopper
Attorney/Agent for Applicant(s)

Reg. No. 50869

Date: Oct. 25 2004

Telephone No.: (805) 781-2824



PTO/SB/08a (08-03)

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/816,228
				Filing Date	3/31/2004
				First Named Inventor	Chaves et al.
				Art Unit	2872
				Examiner Name	
Sheet	1	of	2	Attorney Docket Number	3084.028

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		USSN 10/461,557	06-12-2003	Minano	
		USSN 10/772,088	02-03-2004	Minano	
		USSN 10/779,259	02-13-2004	Benitez	
		USSN 10/903,925	07-29-2004	Fallicoff	
		USSN 10/901,919	07-28-2004	Benitez	
		USSN 10/880,386	06-28-2004	Benitez	

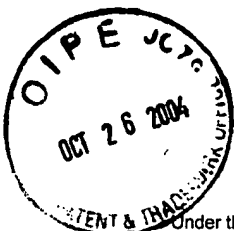
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		SU 1282051 A1	01/07/1987	Spigulis		
		EP 0 450 560 A2	10/09/1991	Totah, et al		
		ES 2142752	12/01/2000	Universidad Politecnica de Madrid		
		WO 99/09349	02/25/1999	De Coma International Inc.		
		WO 99/13266	03/18/1999	Simon		
		WO 01/07828 A1	02/01/2001	Pelka		
		WO 03/066374 A2	08/14/2003	Steen, et al		
		WO 03/066374 A3	08/14/2003	Steen		
		WO 04/007241 A2	01/22/2004	Steen, et al		

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/816,228	
			Filing Date	3/31/2004	
			First Named Inventor	Chaves et al.	
			Art Unit	2872	
			Examiner Name		
Sheet	2	of	2	Attorney Docket Number	3084.028

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Remillard, Everson and Weber, "Loss Mechanisms Optical Light Pipes" <i>Applied Optics</i> Vol 31 #34 pp. 7232-7241 December 1992.	
		Parkyn et al "The Black Hole™: Cusped waveguide-injectors and illuminators for LEDs; Part of the SPIE Conference on Nonimaging Optics: Maximum Efficiency Light Transfer V, Denver, CO, July 1999.	
		Hyper ARGUS®LED, Hyper-Bright, 3mm (T1) LED, Non Diffused; 3-1-2000; Infineon Technologies, pp. 1-9.	
		Spigulis, "Compact dielectric reflective elements, Half-sphere concentrators of radially emitted light" <i>Applied Optics</i> Vol. 33, No. 25, September 1994.	
		International Search Report, PCT/US03/32076	
		Benítez, P. "Chapter 6: The SMS design method in three dimensions", from <i>Conceptos avanzados de óptica anidólica: diseño y fabricación</i> , PhD dissertation, UPM, (1998).	
		Benitez, P.; Mohedano, R.; Minano, J. "Design in 3D geometry with the Simultaneous Multiple Surface design method of Nonimaging Optics" Instituto de Energia Solar, E.T.S.I. Telecomunicacion, Universidad Politecnica, 28040. Madrid, Spain. (July 1999).	
		International Search Report. PCT/US03/38240, July 26, 2004.	

Examiner Signature	Date Considered
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/816,228	
	Filing Date	Mar 31, 2004	
	First Named Inventor	Chaves, Julio Cesar	
	Art Unit	2872	
	Examiner Name		
Total Number of Pages in This Submission	5*	Attorney Docket Number	3084.028

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard to applicant's attorney.
Remarks *Exclusive of copies of patent applications, foreign patents, and publications.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	SINSHEIMER, SCHIEBELHUT & BAGGETT Julie A. Hopper (Reg. No. 50869)
Signature	
Date	Oct. 25 2004

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Type or printed name	Julie A. Hopper		
Signature		Date	Oct 25 2004

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